

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of **Steinberg**

Application No. 09/835,106

Attorney Docket No.: R&H 02-12; DN: 51922 (ACT - 126/127)

Filed: April 13, 2001

For: OPTICAL WAVEGUIDE SWITCH

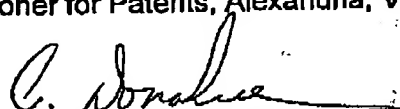
Examiner: Michael C. Zarroll

Group Art Unit: 2839

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)

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3.9.2004
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Cristin Donahue

Commissioner for Patents
Alexandria, VA 22313-1450

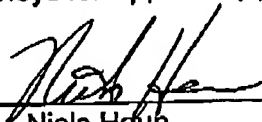
**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97**

In compliance with the duty of disclosure set forth in 37 C.F.R. § 1.56, Applicants are submitting herewith a Form PTO-1449 and a copy of the references listed thereon. This Information Disclosure Statement is being filed more than three months after the filing date of the RCE. However, Applicants have not yet received an action on the merits of the application. Accordingly, Applicants believe that no fee is required pursuant to 37 C.F.R. § 1.97 (b) (3). In the event a fee is required, the Commissioner is authorized to charge the required fees to deposit account no. 04-1406. A duplicate copy of this sheet is included for fee processing, if necessary.

Applicants respectfully request full and proper consideration of the listed information during examination of the application, and that the listed information be printed on any patent that issues therefrom.

Respectfully submitted,

DANN, DORFMAN, HERRELL & SKILLMAN
A Professional Corporation
Attorneys for Applicant(s)

By 
Niels Haun
PTO Registration No. 48,488

Telephone: (215) 563-4100
Facsimile: (215) 563-4044
Enclosures - Form PTO-1449
Copies of references listed on PTO - 1449

INFORMATION DISCLOSURE STATEMENT	<i>Complete if known</i>
	Application Number: 09/835,106
	Filing Date: April 13, 2001
	First Named Inventor: Steinberg
	Group Art Unit: 2839
	Examiner Name: Michael C. Zarroli
SHEET 1 OF 1	Attorney Docket Number: R&H 02-12; DN: 51922 (ACT - 126/127)

UNITED STATES PATENT DOCUMENTS				
EXAMINER'S INITIALS	CITE NO.	PATENT NUMBER	ISSUE DATE MM-DD-YYYY	FIRST NAMED INVENTOR
		5727099	03/10/1998	Harman
		5767991	05/28/1998	Harman
		6625356	09/23/2003	Ticknor et al.

FOREIGN PATENT DOCUMENTS					
EXAMINER'S INITIALS	CITE NO.	DOCUMENT NUMBER	COUNTRY OR REGION	DATE OF PUBLICATION MM-DD-YYYY	FIRST NAMED INVENTOR OR APPLICANT
		DE 3927441 (with English translation)	Germany	02/21/1991	Eicher, Joachim et al.
		EP0476241 (with English translation)	European Office	03/25/1992	Hirschmann, Richard

OTHER PRIOR ART - NON-PATENT DOCUMENTS		
EXAMINER'S INITIALS	CITE NO.	Include name of the author (in Capital Letters), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

EXAMINER'S SIGNATURE		DATE CONSIDERED	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609. Draw a line through citation if citation not in conformance and reference not considered. Include a copy of this form with next communication to applicant.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of **Steinberg**

Application No. 09/835,106

Attorney Docket No. Shipley 02-12

Filed: April 13, 2001

For: OPTICAL WAVEGUIDE SWITCH

Examiner: Michael C. Zarroli

Group Art Unit: 2839

CERTIFICATE OF TRANSMISSION UNDER 37 C.F.R. § 1.8(a)

I hereby certify that this Correspondence is being transmitted on the date identified below to the Patent and Trademark Office in accordance with § 1.6(d).

January 14, 2004
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Cristin Donahue
Cristin Donahue

Commissioner for Patents
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

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By


Niels Haun

PTO Registration No. 48,488

Telephone: (215) 563-4100

Facsimile: (215) 563-4044

Enclosures - Form PTO-1449

Copies of references listed on PTO - 1449

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	Application Number: 09/835,106	
	Filing Date: April 13, 2001	
	First Named Inventor: Steinberg	
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SHEET 1 OF 1		Attorney Docket Number: Shipley 02-12

UNITED STATES PATENT DOCUMENTS				
EXAMINER'S INITIALS	CITE NO.	PATENT NUMBER	ISSUE DATE MM-DD-YYYY	FIRST NAMED INVENTOR

FOREIGN PATENT DOCUMENTS					
EXAMINER'S INITIALS	CITE NO.	DOCUMENT NUMBER	COUNTRY OR REGION	DATE OF PUBLICATION MM-DD-YYYY	FIRST NAMED INVENTOR OR APPLICANT
		JP1999305151A	Japan	11/05/1999	Iwashima, Tetsu

OTHER PRIOR ART - NON-PATENT DOCUMENTS		
EXAMINER'S INITIALS	CITE NO.	Include name of the author (in Capital Letters), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

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Electronic Version 1:1

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Title of Invention	OPTICAL WAVEGUIDE SWITCH																									
Submission Type:	Information Disclosure Statement																									
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Name: Attorneys,ou=Patent and Trademark
Office,ou=Department of Commerce,o=U.S.
Government,c=US

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v1.8

Stylesheet Version v1.8.0

Title of Invention	OPTICAL WAVEGUIDE SWITCH																																
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Confirmation Number: 4209																																	
First Named Applicant: Dan Steinberg																																	
Attorney Docket Number: Shipley 02-12																																	
Art Unit: 2839																																	
Examiner: Michael C. Zarroli																																	
Search string: (6320997 or 6393174 or 6393175).pn.																																	
US Patent Documents																																	
Note: Applicant is not required to submit a paper copy of cited US Patent Documents																																	
<table border="1"><thead><tr><th>Init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td></td><td>1</td><td>6320997</td><td>2001-11-20</td><td>Dautartas et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>2</td><td>6393174</td><td>2002-05-21</td><td>Karaguleff et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>3</td><td>6393175</td><td>2002-05-21</td><td>Jurbergs et al.</td><td></td><td></td><td></td></tr></tbody></table>	Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass		1	6320997	2001-11-20	Dautartas et al.					2	6393174	2002-05-21	Karaguleff et al.					3	6393175	2002-05-21	Jurbergs et al.				
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Signature																																	
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Examiner Name	Date																																

Information Disclosure Statement

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Fee transmittal

FEE TRANSMITTAL

Electronic Version v08

Stylesheet Version v08.0

Title of Invention	OPTICAL WAVEGUIDE SWITCH										
Application Number: 09/835106 *09/835106*											
Date: 2001-04-13											
First Named Applicant: Dan A. Steinberg											
Attorney Docket Number: Shipley 02-12											
Art Unit: 2839											
Examiner: Michael C. Zarroli											
TOTAL FEE AUTHORIZED \$180											
Patent fees are subject to annual revisions on or about October 1st of each year.											
BASIC FILING FEE											
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Access Code *****											
Deposit name: Dann Dorfman Herrell and Skillman											
Deposit authorized name: Niels Haun											
Signature: /nh/											
Date (YYYYMMDD): 2003-11-13											

Fee transmittal

Charge Any Additional Fee Required Under 37 C.F.R. Sections 1.16 and 1.17.

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**UNITED STATES PATENT AND TRADEMARK OFFICE
ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention	OPTICAL WAVEGUIDE SWITCH																									
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Name: Attorneys,ou=Patent and Trademark
Office,ou=Department of Commerce,o=U.S.
Government,c=US

Information Disclosure Statement

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20010041026	2001-11-15	Steinberg et al.			
	2	20030108272	2002-06-12	Sherrer et al.			

Remarks

Note: Remarks are not for responding to an office action.

In the event a fee is required the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys, Account No. 04-1406.

Signature

Examiner Name	Date

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UNITED STATES PATENT AND TRADEMARK OFFICE
ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention

OPTICAL WAVEGUIDE SWITCH

Submission Type:

Information Disclosure Statement

Application Number:

09/835106

09/835106

EFS ID:

41461

Server Response:

Confirmation Code	Message
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ICON1	4209
ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmation/Application numbers at this time. They will be checked by PTO personnel later.

First Named Applicant:

Dan Steinberg

Attorney Docket Number:

Timestamp:

2003-06-04 15:51:42 EDT

From:

us

File Listing:

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Information Disclosure Statement

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention

OPTICAL WAVEGUIDE SWITCH

Application Number: 09/835106

09/835106

Confirmation Number: 4209

First Named Applicant: Dan Steinberg

Attorney Docket Number:

Search string: (3864018 or 4165496 or 4176908 or 4210923 or 4225213 or 4296995 or 4325604 or 4407562 or 4415229 or 4639074 or 4756590 or 4900118 or 5123073 or 5135590 or 5179609 or 5181216 or 5185846 or 5297228 or 5337384 or 5379361 or 5390266 or 5461683 or 5499309 or 5500910 or 5555333 or 5566262 or 5568585 or 5602951 or 5611006 or 5623564 or 5778123 or 5785825 or 5901262 or 5909524 or 6045270 or 6056696 or 6064781 or 6101299 or 6118917 or 6160936 or 6234687 or 6328479 or 20020025107 or 20020146194 or 20020028037 or 20020025104).pn.

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	3864018	1975-02-04	Miller			
	2	4165496	1979-08-21	Di Domenico, Jr. et al.			
	3	4176908	1979-12-04	Wagner			
	4	4210923	1980-07-01	North et al.			
	5	4225213	1980-09-30	McBride, Jr. et al.			
	6	4296995	1981-10-27	Bickel			
	7	4325604	1982-04-20	Witte			
	8	4407562	1983-10-04	Young			
	9	4415229	1983-11-15	McCullough			
	10	4639074	1987-01-27	Murphy			
	11	4756590	1988-07-12	Forrest et al.			
	12	4900118	1990-02-13	Yanagawa et al.			
	13	5123073	1992-06-16	Pimpinella			
	14	5135590	1992-08-04	Basavanhally et al.			
	15	5179609	1993-01-12	Blonder et al.			
	16	5181216	1993-01-19	Ackerman et al.			
	17	5185846	1993-02-09	Basavanhally et al.			

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6/4/200

Information Disclosure Statement

18	5297228	1994-03-22	Yanagawa et al.
19	5337384	1994-08-09	Basavanhally et al.
20	5379361	1995-01-03	Maekawa et al.
21	5390266	1995-02-14	Heitmann et al.
22	5461683	1995-10-24	Harman
23	5499309	1996-03-12	Kozuka et al.
24	5500910	1996-03-19	Boudreau et al.
25	5555333	1996-09-10	Kato
26	5566262	1996-10-15	Yamane et al.
27	5568585	1996-10-22	Kramer
28	5602951	1997-02-11	Shiota et al.
29	5611006	1997-03-11	Tabuchi
30	5623564	1997-04-22	Presby
31	5778123	1998-07-07	Hagan et al.
32	5785825	1998-07-28	Hwang et al.
33	5901262	1999-05-04	Kobayashi et al.
34	5909524	1999-06-01	Tabuchi
35	6045270	2000-04-04	Weiss et al.
36	6056696	2000-05-02	Kallman
37	6064781	2000-05-16	Seibold et al.
38	6101299	2000-08-08	Laor
39	6118917	2000-09-12	Lee et al.
40	6160936	2000-12-12	You et al.
41	6234687	2001-05-22	Hall et al.
42	6328479	2001-12-11	Schofield et al.

US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

Init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20020025107	2002-02-28	Heiks et al.			
	2	20020146194	2002-10-10	Sherrer et al.			
	3	20020028037	2002-03-07	Steinberg et al.			
	4	20020025104	2002-02-28	Steinberg et al.			

Signature

Examiner Name	Date
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Information Disclosure Statement

Page 3 of

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The following papers have been received

In re Application of
STEINBERG

Appl. No.
09/835,106

Attorney Docket No.
R&H 02-12; DN: 51922
(ACT - 126/127)

For: Optical Waveguide Switch

IDS w/PTO-1449
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Mailed: 3/9/04

By: Niels Haun

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The following papers have been received

In re Application of
STEINBERG

Appl. No.09/835,106

Attorney Docket No.
Shipley 02-12

For: Optical Waveguide Switch

Amendment and Reply
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Fee Transmittal (Dupl.)
\$148 Check
Auth. to charge dep. acct.
Information Disclosure Statement with
copies of references
1449 Form

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Mailed: 6/18/03

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